

04-30-01

04/27/01
J-962 U.S. PTO

PTO/SB/05 (03-01)

Approved for use through 10/31/2002 OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL

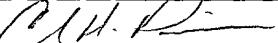
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 01-40068-US

First Inventor Willis et al.

Title Computer-Implemented Method And Apparatus For Adjusting The Cost Basis Of Assets

Express Mail Label No. EL182296801US

APPLICATION ELEMENTS		ADDRESS TO:		
See MPEP chapter 600 concerning utility patent application contents.		Assistant Commissioner for Patents Box Patent Application Washington, DC 20231		
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>Submit an original and a duplicate for fee processing</small>		7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)		
2. <input checked="" type="checkbox"/> Applicant claims small entity status. <small>See 37 CFR 1.27.</small>		8. Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small>		
3. <input checked="" type="checkbox"/> Specification [Total Pages 51] <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 		a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: <ul style="list-style-type: none"> i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies		
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 15]		9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))		
5. Oath or Declaration [Total Pages 3]		10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small>		
a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <small>(for continuation/divisional with Box 18 completed)</small>		11. <input type="checkbox"/> English Translation Document (if applicable) 12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations		
i. <input type="checkbox"/> DELETION OF INVENTOR(S) <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small>		13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small>		
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76		15. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small>		
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:		16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input type="checkbox"/> Other:		
<input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP)		of prior application No. / <small>Prior application information Examiner Group Art Unit</small>		
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.				
19. CORRESPONDENCE ADDRESS				
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Name		07066		
Address		PATENT TRADEMARK OFFICE		
City		State	Zip Code	
Country		Telephone	Fax	
Name (Print/Type)	Carl H. Pierce		Registration No. (Attorney/Agent)	45,730
Signature			Date	4/27/01

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 615.00)

Complete if Known

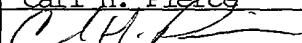
Application Number	Not yet assigned
Filing Date	April 27, 2001
First Named Inventor	Willis et al.
Examiner Name	Not yet assigned
Group Art Unit	Not yet assigned
Attorney Docket No.	01-40068-US

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																																					
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to Deposit Account Number 18-0586</p> <p>Deposit Account Name Reed Smith LLP</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p>		<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Fee Code (\$)</td> <td>Fee Code (\$)</td> <td>Fee Code (\$)</td> <td></td> </tr> <tr> <td>105</td> <td>130</td> <td>205</td> <td>65 Surcharge - late filing fee or oath</td> </tr> <tr> <td>127</td> <td>50</td> <td>227</td> <td>25 Surcharge - late provisional filing fee or cover sheet</td> </tr> <tr> <td>139</td> <td>130</td> <td>139</td> <td>130 Non-English specification</td> </tr> <tr> <td>147</td> <td>2,520</td> <td>147</td> <td>2,520 For filing a request for ex parte reexamination</td> </tr> <tr> <td>112</td> <td>920*</td> <td>112</td> <td>920* Requesting publication of SIR prior to Examiner action</td> </tr> <tr> <td>113</td> <td>1,840*</td> <td>113</td> <td>1,840* Requesting publication of SIR after Examiner action</td> </tr> <tr> <td>115</td> <td>110</td> <td>215</td> <td>55 Extension for reply within first month</td> </tr> <tr> <td>116</td> <td>390</td> <td>216</td> <td>195 Extension for reply within second month</td> </tr> <tr> <td>117</td> <td>890</td> <td>217</td> <td>445 Extension for reply within third month</td> </tr> <tr> <td>118</td> <td>1,390</td> <td>218</td> <td>695 Extension for reply within fourth month</td> </tr> <tr> <td>128</td> <td>1,890</td> <td>228</td> <td>945 Extension for reply within fifth month</td> </tr> <tr> <td>119</td> <td>310</td> <td>219</td> <td>155 Notice of Appeal</td> </tr> <tr> <td>120</td> <td>310</td> <td>220</td> <td>155 Filing a brief in support of an appeal</td> </tr> <tr> <td>121</td> <td>270</td> <td>221</td> <td>135 Request for oral hearing</td> </tr> <tr> <td>138</td> <td>1,510</td> <td>138</td> <td>1,510 Petition to institute a public use proceeding</td> </tr> <tr> <td>140</td> <td>110</td> <td>240</td> <td>55 Petition to revive - unavoidable</td> </tr> <tr> <td>141</td> <td>1,240</td> <td>241</td> <td>620 Petition to revive - unintentional</td> </tr> <tr> <td>142</td> <td>1,240</td> <td>242</td> <td>620 Utility issue fee (or reissue)</td> </tr> <tr> <td>143</td> <td>440</td> <td>243</td> <td>220 Design issue fee</td> </tr> <tr> <td>144</td> <td>600</td> <td>244</td> <td>300 Plant issue fee</td> </tr> <tr> <td>122</td> <td>130</td> <td>122</td> <td>130 Petitions to the Commissioner</td> </tr> <tr> <td>123</td> <td>50</td> <td>123</td> <td>50 Processing fee under 37 CFR 1.17(q)</td> </tr> <tr> <td>126</td> <td>180</td> <td>126</td> <td>180 Submission of Information Disclosure Stmt</td> </tr> <tr> <td>581</td> <td>40</td> <td>581</td> <td>40 Recording each patent assignment per property (times number of properties)</td> </tr> <tr> <td>146</td> <td>710</td> <td>246</td> <td>355 Filing a submission after final rejection (37 CFR § 1.129(a))</td> </tr> <tr> <td>149</td> <td>710</td> <td>249</td> <td>355 For each additional invention to be examined (37 CFR § 1.129(b))</td> </tr> <tr> <td>179</td> <td>710</td> <td>279</td> <td>355 Request for Continued Examination (RCE)</td> </tr> <tr> <td>169</td> <td>900</td> <td>169</td> <td>900 Request for expedited examination of a design application</td> </tr> <tr> <td colspan="4">Other fee (specify) _____</td> </tr> <tr> <td colspan="2">*or number previously paid, if greater; 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*or number previously paid, if greater; For Reissues, see above

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Carl H. Pierce	Registration No (Attorney/Agent)	45,730
Signature		Telephone	215-241-7970
		Date	April 27, 2001

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April 27, 2001

Commissioner for Patents
BOX PATENT APPLICATION
Washington, D.C. 20231

Re: US Utility Application of Willis et. al.
for COMPUTER-IMPLEMENTED METHOD AND
APPARATUS FOR ADJUSTING THE COST BASIS
OF A SECURITY
Filed: April 27, 2001
Attorney Docket No.: 01-40068-US

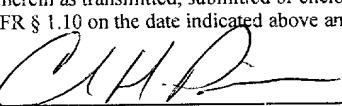
EXPRESS MAIL CERTIFICATE (37 CFR 1.10)

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Date of Deposit April 27, 2001

I hereby certify that this paper, and the papers and/or fees referred to herein as transmitted, submitted or enclosed, are being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D C 20231

Name: Carl H. Pierce

Signature 

Dear Sir:

Enclosed for filing in connection with the above-referenced patent application are the following documents:

1. Utility Patent Application Transmittal (1 sheet);
2. Fee Transmittal (1 sheet);
3. Application consisting of: 50 pages of specification, 1 page of abstract and 15 sheets of drawings;
4. Declaration and Power of Attorney (Original);
5. Check in the amount of \$615.00 for payment of the filing fees, excess claims and recording of Assignment document;
6. Assignment (2 sheets);
7. Recordation Sheet (1 sheet); and

2500 One Liberty Place
1650 Market Street
Philadelphia, PA 19103-7301
215.851.8100
Fax 215.851.1420

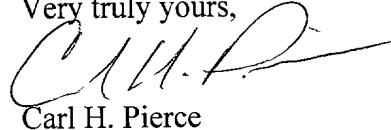
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Commissioner for Patents
April 27, 2001
Page 2

8. A self-addressed stamped postcard, return of which is requested to acknowledge receipt of the enclosed documents.

Kindly acknowledge receipt of these documents by returning the enclosed self-addressed, stamped postcard to me. The Commissioner is hereby authorized to charge any additional fees required in connection with this filing to Account No. 18-0586.

Very truly yours,



Carl H. Pierce

Enclosures